

Project Name: Electronic Case File System

OCIO Project #:

Department: California Department of Social Services

Revision Date:

Concept Statement

Description

Brief description of the proposed project:

An electronic case file system to replace the current paper-based record of state fair hearings. This system will be a web-based solution that allows for the storage and transfer of all documents related to a fair hearing request, as well as a digital audio recording of the hearing, while complying with HIPAA standards. The ability to transfer documents to Division staff throughout the state instantly, will decrease the number of unnecessary state postponements (which contribute to *Ball* and *King* penalties.)

Need Statement

High Level Functional Requirements:

SHD requires an electronic case file system that is web-based and complies with the security standards in the Health Insurance Portability and Accountability Act (HIPAA), as well as departmental IT confidentiality procedures. This system must incorporate different user roles with varying levels of access, the ability to download/upload Word and PDF files, and the capacity to attach and store documents and digital audio files to a case record.

What is Driving This Need?

SHD staff currently review case files (containing original request for hearing, evidence, statement of position, etc.) in paper format. This information is often transported to several locations throughout the state. SHD's ability to efficiently allocate ALJ resources using telephone or video hearings largely depends on the availability of casefiles. Electronic transfer of documents will ensure that hearing evidence is easily accessible to SHD staff throughout the state. This more efficient hearing process will result in less postponements requested by the state due to the unavailability of ALJs or casefile information.

Risk to the Organization if This Work is Not Done:

As SHD increasingly relies on telephone/video hearings for efficiency, cases are often at risk of being heard untimely when paper case files are misplaced, lost in the mail, or not sent to the correct location. Continued dependence on this system contributes to SHD's penalty payments (totalling \$328,033.00 in the FY 2007/ 2008) when cases must be postponed due to a lack of casefile information.

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Benefit Statement

Intangible Benefits

Process Improvements (describe the nature of the process improvement):

SHD staff operate from multiple locations statewide. Electronic case files will allow access to information immediately, and can be viewed simultaneously by multiple parties. Information will be uploaded by the county, Department of Health Services, or ALJ staff for easy access. Last minute staffing changes can be made without delaying a hearing. An electronic central retrieval system will reduce the need to ship or store paper files and provide instant access to archived material. Teleworking ALJs can have complete access to files and conduct hearings from any location in the state.

Other Intangible Benefits:

An electronic case file system increases the level of security for confidential files by allowing only authorized users to access them. SHD currently does not comply with Welfare and Institutions Code 10964 which states that SHD "shall compile and distribute a current digest of decisions that shall be open to public inspection ..." but could quickly comply with the mandate if all casefiles were electronic by making the decisions accessible to the public.

Tangible Benefits

Revenue Generation (describe how revenue will be generated):

N/A

Cost Savings (describe how cost will be reduced):

The replacement of paper case files with electronic files will decrease annual cost of paper supplies, cassette tapes, and Golden State overnight shipping of approximately \$100,000.00, as well as an unquantifiable amount of duplicated printing/copying/faxing of paper files. SHD is required to archive casefiles for 4 years; electronic files will eliminate the cost to rent warehouse space from the Department of General Services to store these materials.

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Cost Avoidance (describe the cost and how avoided):

Ball and *King* penalty fees may be avoided when case files are available electronically. As compared to current cases not being heard timely when paper case files are unavailable due to last minute staffing changes.


Risk Avoidance (describe the risk and how avoided):

Rehearing and Decisions Pursuant to Court Order in paper format are at risk of being misplaced or damaged. Cassette tapes and related sound supplies becoming increasingly unavailable and ultimately obsolete, as well as prone to damage or degradation when archived. Electronic case files will be backed up, making retrieval of a file immediately available to multiple parties anywhere in the state.

Improved Services:

Case information will be immediate accessible to all parties associated with State Hearings. This will decrease delays/ postponements of hearings due to last minute staffing changes or misplaced files.

Consistency

"No" Responses 		Rationale	Action Required
Enterprise Architecture	Yes		
Business Plan	Yes		
Strategic Plan	Yes		

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Impact to Other Agencies

Nature of Impact to Other Agencies

Agency:
<i>Describe the nature of the impact:</i>

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Impact to Other Programs

Nature of Impact to Other Programs

Program:	Department of Health Care Services (DHCS)
<i>Describe the nature of the impact:</i>	
DHCS will be trained on proper use of the electronic case file system. They will be able to upload and download case-related documents for DHCS hearings.	

Program:	County Welfare Appeals Units
<i>Describe the nature of the impact:</i>	
County Welfare Appeals Units will be trained on proper use of the electronic case file system. All 58 Counties will be able to upload and download case-related documents for state hearings.	

Program:	
<i>Describe the nature of the impact:</i>	

Program:	
<i>Describe the nature of the impact:</i>	

Solution Alternatives

Alternative 1:

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Technical Considerations for Alternative 1:

ROM Cost:

to

Note: high end of range must not exceed 200% of low end of range

Alternative 2:

Technical Considerations for Alternative 2:

ROM Cost:

to

Note: high end of range must not exceed 200% of low end of range

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Alternative 3:

Technical Considerations for Alternative 3:

ROM Cost:

to

Note: high end of range must not exceed 200% of low end of range

Alternative 1	ROM Cost		
	\$0	-	\$0
	\$0	-	\$0
	\$0	-	\$0

- 1
- 2
- 3
- 4

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Recommendation:

Project Approach *(if known)*

System Complexity:		System Business Hours: <i>(e.g., 24x7, 9am-5pm)</i> :		
Architecture	<input type="checkbox"/> Mainframe <input type="checkbox"/> Client Server <input type="checkbox"/> Web Based	Num. of New Databases:		
Technology	<input type="checkbox"/> New <input type="checkbox"/> New to Staff <input type="checkbox"/> In-House Experience	Interfaces:		
Implementation	<input type="checkbox"/> Central Site <input type="checkbox"/> Phased Roll-out	Num. of Sites:		
M & O Support	<input type="checkbox"/> Contractor <input type="checkbox"/> Data Center <input type="checkbox"/> Project <input type="checkbox"/> Returned to Sponsor			
Procurement Approach: <i>(consult with OSI Procurement Center)</i>			Number of Procurements:	
Open Procurement? <input type="checkbox"/> Yes <input type="checkbox"/> No			Delegated Procurement? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Scope of Contract	<input type="checkbox"/> Development <input type="checkbox"/> Implementation <input type="checkbox"/> M & O <input type="checkbox"/> Other:			
Anticipated Length of Contract:		Years / extensions for years		